



GAU 2161  
#4  
BT  
11-13-01

Docket No. GB920000044US3

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: K. Seamons, et al

Serial No.: 09/800,641

Filed: 3-7-2001

For: Automated Trust Negotiation

Art Unit: 2161

Examiner:

RECEIVED  
JUL 20 2001  
Technology Center 2100

Assistant Commissioner of Patents  
Washington, D.C. 20231

CERTIFICATE OF MAILING UNDER 37 CFR 1.8(a)

I hereby certify that the following attached correspondence comprising:

1. Information Disclosure Statement
2. USPTO Form 1449, 2 pages
3. References, 19
4. Business Reply Postcard

is being deposited with the United States Postal Service as first class mail in an envelope addressed to:

Assistant Commissioner of Patents  
Washington, D.C. 20231

on July 17, 2001

Dianne Lane  
(Name of person mailing paper or fee)

*Dianne Lane*  
(Signature of person mailing paper or fee)



IN THE UNITED STATES PATENT & TRADEMARK OFFICE

In re application of : July 17, 2001  
K. Seamons, et al : IBM Corporation  
Filing Date: 3-7-2001 : Dept.T81/Bldg. 503-3  
Serial No. 09/800,641 : P.O. Box 12195  
For: Automated Trust Negotiation : Research Triangle Park,  
: North Carolina 27709  
: Art Unit 2161

INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents  
Washington, DC 20231

Sir:

Applicants submit herewith patents, publications or other information of which there may be a duty to disclose in accordance with 37 CFR 1.56.

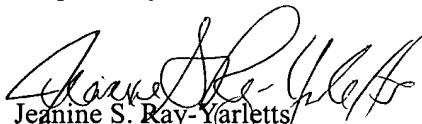
While this Information Disclosure Statement may be "material" pursuant to 37 CFR 1.56, it is not intended to constitute an admission that any patent, publication or other information referred to herein is "prior art" for this invention unless specifically designated as such.

In accordance with 37 CFR 1.97(g) the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made or that no other material information as defined in 37 CFR 1.56(a) exists.

The attached form, PTO-1449, provides a listing of patents, publications, or other information as required by 37 CFR 1.98(a)(1).

A copy of each of the items on PTO-1449 is supplied herewith.

Respectfully submitted,

  
Jeanine S. Ray-Yarletts  
Attorney for Applicants  
Registration No. 39,808

JSR:dl  
PHONE: 919-543-2541; FAX: 919-254-4330



<b>Form PTO-1449</b>		<b>ATTORNEY DOCKET NO.</b> GB920000044US3		<b>SERIAL NO.</b> 09/800,641	
<b>LIST OF PRIOR ART CITED BY APPLICANT</b> (Use several sheets if necessary)		<b>APPLICANT</b> K. Seamons, et al			
		<b>FILING DATE</b> 3-7-2001		<b>GROUP ART UNIT</b> 2161	
<b>U.S. PATENT DOCUMENTS</b>					
<b>EXAMINER INITIAL</b>	<b>DOCUMENT NO.</b>	<b>PUBLICATION DATE</b>	<b>INVENTOR NAME</b>		<b>CLASS/ SUBCLASS</b>
<b>FOREIGN PATENT DOCUMENTS</b>					
<b>EXAMINER INITIAL</b>	<b>DOCUMENT NO.</b>	<b>PUBLICATION DATE</b>	<b>COUNTRY</b>	<b>CLASS/ SUBCLASS</b>	<b>TRANSLATION YES NO</b>
<b>OTHER PRIOR ART (including author, title, date, pertinent page, etc.)</b>					
	AA	E. Bina, V. Jones, R. McCool, and M. Winslett, "Secure Access to Data Over the Internet", Proceedings of the Third ACM/IEEE International Conference on Parallel and Distributed Information Systems, Austin, Texas, Sept. 1994.			
	AB	M. Blaze, J. Feigenbaum, J. Ioannidis, and A. Keromytis, "The KeyNote Trust Management system", work in progress, internet draft, Marach 1999.			
	AC	M. Blaze, J. Feigenbaum, and A.D. Keromytis, "KeyNote: Trust Management for Public-Key Infrastructures", Cambridge 1998 Security Protocols International Workshop, England, 1998.			
	AD	M. Blaze, J. Feigenbaum, and J. Iacy, "Decentralized Trust Management", 1996 IEEE Conference on Privacy and Security, Oakland 1996.			
	AE	N. Ching, V. Jones, and M. Winslett, "Authorization in the Digital Library: Secure Access to Services Across Enterprise Boundaries", Proceedings of ADL '96 - Forum on Research and Technology Advances in Digital Libraries, Washington, DC, May 1996.			
	AF	T. Dierks, C. Allen, "The TLS Protocol Version 1.0", Network Working Group, Jan. 1999, <a href="http://www.ietf.org/rfc/rfc2246.txt">http://www.ietf.org/rfc/rfc2246.txt</a>			
	AG	A. Frier, P. Karlton, and P. Kocher, "The SSL 3.0 Protocol", Netscape Communications Corp., Nov., 1996; <a href="http://home.netscape.com/eng/ss13/draft302.txt">http://home.netscape.com/eng/ss13/draft302.txt</a>			
	AH	N. Li, J. Feigenbaum, and B. Grosf, "A Logic-based Knowledge Representation for Authorization with Delegation" (extended abstract), Proceedings of the 12 <sup>th</sup> Computer Security Foundations Workshop, IEEE Computer Society Press, Los Alamitos, 1999, pp. 162-174.			
	AI	N. Li, B. Grosf and J. Feigenbaum, "A Practically Implementable and Tractable Delegation Logic", Proceedings of the 2000 IEEE Symposium on Security and Privacy.			
	AJ	W. Johnston, S. Mudumbai, and M. Thompson, "Authorization and Attribute Certificates for Widely Distributed Access Control", Proceedings of the IEEE 7 <sup>th</sup> International Workshops on Enabling Technologies: Infrastructure for Collaborative Enterprises-WETICE '98.			
<b>DATE CONSIDERED</b>		<b>EXAMINER</b>			
<b>EXAMINER:</b> Initial if reference considered, whether or not citation is in conformance with MPEP § 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.					



<b>Form PTO-1449</b>  <b>LIST OF PRIOR ART CITED BY APPLICANT</b> (Continued)	ATTORNEY DOCKET NO. <b>GB920000044US3</b>	SERIAL NO. <b>09/800,641</b>
	APPLICANT <b>K. Seamons, et al</b>	
	FILING DATE <b>3-7-2001</b>	GROUP ART UNIT <b>2161</b>

**RECEIVED**  
**JUL 20 2001**  
Technology Center 2100

U.S. PATENT DOCUMENTS					
EXAMINER INITIAL	DOCUMENT NO.	PUBLICATION DATE	INVENTOR NAME	CLASS/ SUBCLASS	FILING DATE

FOREIGN PATENT DOCUMENTS					
EXAMINER INITIAL	DOCUMENT NO.	PUBLICATION DATE	COUNTRY	CLASS/ SUBCLASS	TRANSLATION YES NO

OTHER PRIOR ART (including author, title, date, pertinent page, etc.)	
AK	A. Herzberg, J. Mihaeli, Y. Mass, D. Naor, and Y. Ravid, "Access Control Meets Public Key Infrastructure, Or: Assigning Roles to Strangers", IBM Haifa Research Laboratory, <a href="http://www.hrl.il.ibm.com">http://www.hrl.il.ibm.com</a> .
AL	"The Trust Policy Language", IBM Haifa Research Laboratory, <a href="http://www.hrl.il.ibm.com/TrustEstablishment/PolicyLanguage.html">http://www.hrl.il.ibm.com/TrustEstablishment/PolicyLanguage.html</a>
AM	K. Seamons, W. Winsborough, and M. Winslett, "Internet Credential Acceptance Policies", Proceedings of the 2 <sup>nd</sup> International Workshop on Logic Programming Tools for Internet Applications, Leuven, Belgium, July 1997.
AN	W. Winsborough, K. Seamons, and V. Jones, "Automated Trust Negotiation: Managing Disclosure of Sensitive Credentials", Transarc Research White Paper, May 1999.
AO	W. Winsborough, K. Seamons, and V. Jones, "Negotiating Disclosure of Sensitive Credentials", Second Conference on Security in Communication Networks '99, Amalfi, Italy, September, 1999.
AP	W. Winsborough, K. Seamons, and V. Jones, "Automated Trust Negotiation", DARPA Information Survivability Conference and Exposition (DISCEX '2000), January 2000.
AQ	M. Winslett, N. Ching, V. Jones, and I. Slepchin, "Using Digital Credentials on the World-Wide Web", Journal of Computer Security, 5, 1997.
AR	"Simple Public Key Infrastructure (SPKI)", <a href="http://www.ietf.org/html.charters/spki-charter.html">http://www.ietf.org/html.charters/spki-charter.html</a>
AS	International Telecommunication Union, Recommendation X.509, "Information Technology - - Open Systems Interconnection - - The Directory: Authentication Framework", August 1997.

DATE CONSIDERED	EXAMINER
<b>EXAMINER:</b> Initial if reference considered, whether or not citation is in conformance with MPEP § 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	